



#4  
SECTOR 1/2  
PATENT  
81754.0056

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Eriko GOTO, et al.

Serial No: 09/821,729

Filed: March 28, 2001

For: NETWORK SECURITY SYSTEM

Art Unit: (Not Assigned)

Examiner: (Not Assigned)

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION**

Box MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence  
is being deposited with the United States  
Postal Service with sufficient postage as  
first class mail in an envelope addressed  
to:

Commissioner for Patents  
Washington D.C. 20231, on

August 28, 2001

Date of Deposit

Michael Crapenhof, Reg. No. 37,115

Name

*Michael Crapenhof* 08/28/01

Signature

Date

Dear Sir:

In response to the "Notice to File Missing Parts of NonProvisional Application," dated May 31, 2001, response to which is due August 31, 2001 with a one-month extension of time, enclosed are the following:

- ☒ A copy of the "Notice to File Missing Parts of Nonprovisional Application"
- ☒ A "Declaration and Power of Attorney" executed by the inventor(s).
- ☒ English translation of the application, and statement that translation is accurate.
- ☒ A "Petition for Extension of Time" for one month(s) and a check for the required fee in the amount of \$110.
- ☒ A check in the amount of \$130.00 to cover the surcharge for late filing of the Declaration.
- ☒ A check in the amount of \$130.00 to cover the fee for filing English translation of the application
- ☒ A check in the amount of \$870.00 in payment of the filing fee and extra claims
- ☒ An executed "Assignment" and Assignment Recordation Sheet.
- ☒ A check in the amount of \$40 in payment of the Assignment Recordation fee.

The Commissioner is authorized to charge any underpayment to our Deposit Account No. 50-1314. A copy of this letter is enclosed.

Respectfully submitted,  
Date: August 28, 2001

By: *Michael Crapenhof*  
Michael Crapenhof  
Registration No. 37,115  
Attorney for Applicant(s)

HOGAN & HARTSON L.L.P.  
500 South Grand Avenue, Suite 1900  
Los Angeles, California 90071  
Phone: 213-337-6700  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
Eriko GOTO, et al.

Serial No: 09/821,729

Filed: 03/28/01

For: NETWORK SECURITY SYSTEM

Art Unit: n/a  
Examiner: n/a

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:  
Commissioner for Patents  
Washington D.C. 20231, on  
August 28, 2001  
Date of Deposit  
Michael Crapenhof, Reg. No. 37,115  
Name  
*Michael Crapenhof* August 28, 2001  
Signature Date

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Transmitted herewith is a preliminary amendment in the above-identified application.

- ☐ Small entity status has been claimed. See 37 CFR § 1.27.
- ☐ A certified copy of \_\_\_ Patent Application No. \_\_\_ filed \_\_\_ from which priority is claimed under 35 U.S.C. § 119 is enclosed.
- ☐ A Notice Of Change Of Attorney's Address and Associate Power Of Attorney is enclosed.
- ☐ No additional fee is required.

The fee has been calculated as shown below:

	(Col. 1) CLAIMS REMAINING AFTER AMENDMENT		(Col. 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Col. 3) PRESENT EXTRA*	LG/SM \$ ENTITY FEE	ADD'L FEE DUE
TOTAL CLAIMS FEE	19	-	20 **	0	LG=\$18 SM=\$9	\$ [FEE] \$ 0
INDEPENDENT CLAIMS FEE	5	-	3 ***	2	LG=\$80 SM=\$40	\$ [FEE] \$ 160
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIMS					LARGE ENTITY FEE = \$270 SMALL ENTITY FEE = \$135	\$ 0
					<b>TOTAL</b>	<b>\$ 160</b>

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box on Col. 1 of a prior amendment or the number of claims originally filed.

- ☐ A check in the amount of \$ \_\_\_ to cover the additional claims fee is enclosed. **A copy of this sheet is enclosed.**
- ☒ A check in the amount of \$ 110.00 to cover the extension fee is enclosed. **A copy of this sheet is enclosed.**
- ☒ The Commissioner is hereby authorized to charge any deficiencies of fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314. **A copy of this sheet is enclosed.**
  - ☒ Any filing fees under 37 C.F.R. § 1.16 for the presentation of extra claims
  - ☒ Any patent application processing fees under 37 C.F.R. § 1.17

Respectfully submitted,  
HOGAN & HARTSON L.L.P.

By: *Michael Crapenhof*  
Michael Crapenhof  
Registration No. 37,115  
Attorney for Applicant(s)

Date: August 28, 2001

Biltmore Tower  
500 South Grand Avenue, Suite 1900  
Telephone: 213 337-6700  
Facsimile: 213 337-6701



## UNITED STATES PATENT AND TRADEMARK OFFICE

81754.0056

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/821,729	03/28/2001	Eriko Goto	

CONFIRMATION NO. 5473

000026021  
HOGAN & HARTSON L.L.P.  
500 S. GRAND AVENUE  
SUITE 1900  
LOS ANGELES, CA 90071-2611

## FORMALITIES LETTER



\*OC000000006134189\*

Date Mailed: 05/31/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

09/04/2001 MAHMED1 00000113 09821729

FILED UNDER 37 CFR 1.53(b)

01 FC:101	710.00 OP
02 FC:105	130.00 OP
03 FC:139	130.00 OP
04 FC:102	160.00 OP

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- ✓ • The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- ✓ • The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 970.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing figures contain text that is not in English (including, for example, a flow

chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

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*A copy of this notice **MUST** be returned with the reply.*

*MTB*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE